

# PCT

## INTERNATIONAL PRELIMINARY EXAMINATION REPORT

(PCT Article 36 and Rule 70)



REC'D 13 APR 2004

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Applicant's or agent's file reference P30830A/NBR/MEA.	<b>FOR FURTHER ACTION</b> See Notification or Transmittal of International Preliminary Examination Report (Form PCT/PEA/416)	
International application No. PCT/GB 03/00975	International filing date (day/month/year) 07.03.2003	Priority date (day/month/year) 08.03.2002
International Patent Classification (IPC) or both national classification and IPC C02F1/00		
Applicant OTV SA et al.		

1. This international preliminary examination report has been prepared by this International Preliminary Examining Authority and is transmitted to the applicant according to Article 36.
2. This REPORT consists of a total of 5 sheets, including this cover sheet.  
  
☒ This report is also accompanied by ANNEXES, i.e. sheets of the description, claims and/or drawings which have been amended and are the basis for this report and/or sheets containing rectifications made before this Authority (see Rule 70.16 and Section 607 of the Administrative Instructions under the PCT).  
  
 These annexes consist of a total of 5 sheets.

3. This report contains indications relating to the following items:
  - I ☒ Basis of the opinion
  - II ☐ Priority
  - III ☐ Non-establishment of opinion with regard to novelty, inventive step and industrial applicability
  - IV ☐ Lack of unity of invention
  - V ☒ Reasoned statement under Rule 66.2(a)(ii) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement
  - VI ☐ Certain documents cited
  - VII ☐ Certain defects in the international application
  - VIII ☐ Certain observations on the international application

Date of submission of the demand  02.10.2003	Date of completion of this report  13.04.2004
Name and mailing address of the International preliminary examining authority:   European Patent Office - P.B. 5818 Patentlaan 2 NL-2280 HV Rijswijk - Pays Bas Tel. +31 70 340 - 2040 Tx: 31 651 epo nl Fax: +31 70 340 - 3016	Authorized Officer  Liebig, T  Telephone No. +31 70 340-2746  

**INTERNATIONAL PRELIMINARY  
EXAMINATION REPORT**

International application No. **PCT/GB 03/00975**

**I. Basis of the report**

1. With regard to the **elements** of the international application (*Replacement sheets which have been furnished to the receiving Office in response to an invitation under Article 14 are referred to in this report as "originally filed" and are not annexed to this report since they do not contain amendments (Rules 70.16 and 70.17)*):

**Description, Pages**

1-10 as originally filed

**Claims, Numbers**

1-26 filed with telefax on 02.10.2003

**Drawings, Sheets**

1/1 as originally filed

2. With regard to the **language**, all the elements marked above were available or furnished to this Authority in the language in which the international application was filed, unless otherwise indicated under this item.

These elements were available or furnished to this Authority in the following language: , which is:

- ☐ the language of a translation furnished for the purposes of the international search (under Rule 23.1(b)).  
☐ the language of publication of the international application (under Rule 48.3(b)).  
☐ the language of a translation furnished for the purposes of international preliminary examination (under Rule 55.2 and/or 55.3).

3. With regard to any **nucleotide and/or amino acid sequence** disclosed in the international application, the international preliminary examination was carried out on the basis of the sequence listing:

- ☐ contained in the international application in written form.  
☐ filed together with the international application in computer readable form.  
☐ furnished subsequently to this Authority in written form.  
☐ furnished subsequently to this Authority in computer readable form.  
☐ The statement that the subsequently furnished written sequence listing does not go beyond the disclosure in the international application as filed has been furnished.  
☐ The statement that the information recorded in computer readable form is identical to the written sequence listing has been furnished.

4. The amendments have resulted in the cancellation of:

- ☐ the description, pages:  
☐ the claims, Nos.:  
☐ the drawings, sheets:

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5. ☐ This report has been established as if (some of) the amendments had not been made, since they have been considered to go beyond the disclosure as filed (Rule 70.2(c)).

*(Any replacement sheet containing such amendments must be referred to under item 1 and annexed to this report.)*

6. Additional observations, if necessary:

**V. Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

**1. Statement**

Novelty (N)	Yes: Claims	2-17,20-26
	No: Claims	1,18,19
Inventive step (IS)	Yes: Claims	None
	No: Claims	1-26
Industrial applicability (IA)	Yes: Claims	1-26
	No: Claims	None

**2. Citations and explanations**

**see separate sheet**

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**Re Item V**

**Reasoned statement under Article 35(2) with regard to novelty, inventive step or industrial applicability; citations and explanations supporting such statement**

1 Reference is made to the following documents:

D1: DE19627595

D2: US5328597

D3: DE4028529

2 The amendments filed with the telefax dated 2<sup>nd</sup> october 2003 do comply with the requirements of Article 34(2)(b) PCT.

3 The subject-matter of independent claims 1, 18 and 19 does not fulfill the clarity requirements of Article 6 PCT:

Some of the features in the apparatus claims 1, 18 and 19 relate to a method of using the apparatus rather than clearly defining the apparatus in terms of its technical features ("said component being useable in the host apparatus", "adapted to co-operate", "adapted to sanitise"). Furthermore, the claims attempt to define the subject-matter in terms of the result to be achieved (sanitising/cleaning). The technical features necessary for achieving this result should be added. The intended limitations are therefore not clear from this claim, contrary to the requirements of Article 6 PCT and the cited features are disregarded in the following assessment of novelty and inventive step.

4 The subject-matter of claims 1, 18 and 19 does not fulfill the requirements of Article 33(2) PCT:

4.1 The Document D1 discloses a treatment apparatus (D1, col. 2, l. 31-33), having a separable treatment component (D1, col. 2, l. 26-36, Fig. 1) with integrated electronic circuit for communicating with the treatment apparatus (D1, col. 2, l. 34 to col. 3, l. 67). The apparatus contains a CPU and the electronic circuit in the component includes a microchip for data storage (D1, Fig. 3). Both units communicate with each other either in a wireless mode by using a transponder or by wire through an electrical contact (D1, col. 2, l. 45-62). The apparatus is destined to treat liquids (D1, col. 3, l. 6-16) and therefore suitable for water treatment. The subject-matter of claims 1, 18 and 19 is therefore not new.

4.2 Document D2 is also considered novelty-destroying for claims 1 and 19 - see D2, col.

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3, l. 44 to col. 5, l. 26. and Fig. 1-3.

5 Notwithstanding the fact that claims 1, 18 and 19 are not new, they also do not appear to be inventive with regard to D3, as the only difference between D3 and the application lies in the fact that D3 does not have an electrical circuit on the cartridge, but an optical means of coding information thereon and transferring the information from the cartridge to the apparatus. It appears, that the skilled person could use a microchip instead of a barcode to code information on the cartridge, without using inventive skill (Article 33(3) PCT).

6 Dependent claims 2-17 and 20-26 do not contain any features which, in combination with the features of any claim to which they refer, meet the requirements of the PCT in respect of inventive step, as they do not appear to contribute solving the problem posed on page 2, lines 23-31 of the application.

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1 PCT/GB2003/000975

2 Claims

3

4 1. A water treatment system comprising a host  
5 water treatment apparatus and a separable water  
6 treatment component, said component being  
7 useable in the host apparatus, wherein the  
8 component has an electronic circuit adapted to  
9 co-operate with an electronic circuit in the  
10 host apparatus, and wherein the component is  
11 adapted to sanitise and/or clean one or more  
12 parts of the host apparatus.

13

14 2. A water treatment system as claimed in Claim 1  
15 wherein the co-operation between the component  
16 and the host apparatus is either one way or  
17 two-way.

18

19 3. A water treatment system as claimed in Claim 1  
20 or Claim 2 wherein the component circuit and  
21 the host circuit communicate via one or more of  
22 the following transmittable waveforms: radio,  
23 infrared, optical and magnetic.

24

25 4. A water treatment system as claimed Claim 1 or  
26 Claim 2 wherein the component circuit and the  
27 host circuit communicate by physical electrical  
28 contact.

29

30 5. A water treatment system as claimed in any one  
31 of the preceding Claims wherein co-operation of  
32 the component circuit and the host circuit is

12

- 1           only possible when the component is conjoined  
2           with the host apparatus.  
3  
4       6.    A water treatment system as claimed in any one  
5           of the preceding Claims wherein the component  
6           circuit and/or the host circuit includes a  
7           memory capacity.  
8  
9       7.    A water treatment system as claimed in any one  
10          of the preceding Claims wherein each electronic  
11          circuit can read and/or interrogate the other  
12          electrical circuit.  
13  
14       8.    A water treatment system as claimed in any one  
15          of the preceding Claims wherein the electrical  
16          circuit in the host apparatus includes a  
17          central processor, and the electrical circuit  
18          in the component includes a data chip.  
19  
20       9.    A water treatment system as claimed in any one  
21          of the preceding Claims wherein the electronic  
22          circuit of the component provides an enablement  
23          signal to the electronic circuit of the host  
24          apparatus, and/or vice versa.  
25  
26       10.   A water treatment system as claimed in Claim 9  
27          wherein the enablement signal includes means  
28          for the component or host apparatus to control  
29          the other part.  
30

13

- 1 11. A water treatment system as claimed any one of  
2 the preceding Claims wherein the component and  
3 host inter-co-operate.  
4
- 5 12. A water treatment system as claimed in any one  
6 of the preceding Claims wherein the electronic  
7 circuit of the component includes at least a  
8 data tag.  
9
- 10 13. A water treatment system as claimed in Claim 12  
11 wherein presence of the data tag is identified  
12 by the electronic circuit of the host  
13 apparatus.  
14
- 15 14. A water treatment system as claimed in any one  
16 of the preceding Claims wherein lack of co-  
17 operation between the electronic circuit of the  
18 component and electronic circuit of the host  
19 apparatus indicates the incorrect fitment  
20 and/or installation of the component with the  
21 host apparatus.  
22
- 23 15. A water treatment system as claimed in any one  
24 of the preceding Claims wherein lack of co-  
25 operation between the electronic circuit of the  
26 component and the electronic circuit of the  
27 unit identifies incorrect operation of the  
28 component and/or the host apparatus.  
29
- 30 16. A water treatment system as claimed in any one  
31 of the preceding Claims wherein information in



1 the component is accessed from the component  
2 and displayed by the host apparatus.

3  
4 17. A water treatment system as claimed in any one  
5 of the preceding Claims wherein information  
6 that is communicated between the electronic  
7 circuits of the component and the host  
8 apparatus is validation information, production  
9 information and/or manufacturing information.

10  
11 18. A host water treatment apparatus useable with a  
12 water treatment component to provide a water  
13 treatment system, said host apparatus having a  
14 electronic circuit adapted to co-operate with  
15 an electronic circuit in the component in a  
16 manner as defined in any one of Claims 1 to 17.

17  
18 19. A separable sanitising and/or cleaning  
19 treatment component useable with a host water  
20 treatment apparatus, said component having an  
21 electronic circuit adapted to co-operate with  
22 an electronic circuit in the host apparatus.

23  
24 20. A treatment component as claimed in Claim 19  
25 wherein the electronic circuits co-operate in a  
26 manner as defined in any one of Claims 1 to 17.

27  
28 21. A treatment component as claimed in any one of  
29 Claims 19 to 20 wherein the electronic circuit  
30 of the component is integral with the  
31 component.  
32

15

- 1 22. A treatment component as claimed in Claim 21  
2 wherein the electronic circuit is embedded into  
3 or mounted onto the component.  
4
- 5 23. A treatment component as claimed in any one of  
6 Claims 19 to 22 wherein the electronic circuit  
7 of the component includes a database having  
8 characterising data relating to the component.  
9
- 10 24. A treatment component as claimed in any one of  
11 Claims 19 to 23 wherein the data of the  
12 component electronic circuit is encrypted.  
13
- 14 25. A treatment component as claimed in any one of  
15 Claims 19 to 24 wherein the component is a  
16 consumable replaceable unit.  
17
- 18 26. A treatment component as claimed in Claim 25  
19 wherein the component is a cartridge.

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